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December 11, 2000

(Date of Deposit)

John C. Freeman

Name of applicant, assignee, or  
Registered Representative

J.C. Freeman

Signature

December 11, 2000

Date of Signature



APPROVED

MAR 22 2001

FOR THE DIRECTOR OF USPTO

Our File No. 8406/4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Howard B. Garber

Patent No.: 5,963,923

Issue Date: October 5, 1999

Serial No.: 08/868,200

Filing Date: June 3, 1997

For: SYSTEM AND METHOD FOR TRADING  
HAVING A PRINCIPAL MARKET MAKER

Art Unit: 2765

Examiner: J. Patel

CERTIFICATE

JAN 03 2001

OF CORRECTION

REQUEST FOR CERTIFICATE OF CORRECTION

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please issue a Certificate of Correction for the above-identified patent to correct the errors listed on the accompanying PTO Form 1050. This request is being made pursuant to 35 U.S.C. § 254 and 35 U.S.C. § 255, since the errors comprise minor or typographical errors by the applicant or the PTO.

12/19/2000 NROCHAE 00000009 5963923

01 FC:145

100.00 DP

PUBLISH

Enclosed herewith is a check for \$100.00 to cover the cost of applicant's errors. The Commissioner is hereby authorized to charge any additional fees required to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.



Respectfully submitted,

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UNITED STATES PATENT AND TRADEMARK OFFICE  
**CERTIFICATE OF CORRECTION**

PATENT NO. : 5,963,923  
DATED : October 5, 1999  
INVENTOR(S) : Howard B. Garber

Page 1 of 1

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

In the Claims

In claim 25, line 2, delete "trade" and substitute  
--traded-- in its place.

MAILING ADDRESS OF SENDER:

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PATENT NO. 5,963,923

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## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO. : 5,963,923  
 DATED : October 5, 1999  
 INVENTOR(S) : Garber

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

*Col. 11,*

In claim 12, line 1, replace the numeral "10" with --11--.  
 In claim 13, line 1, replace the numeral "10" with --11--.  
 In claim 14, line 1, replace the numeral "10" with --11--.  
 In claim 15, line 1, replace the numeral "10" with --11--.  
 In claim 16, line 1, replace the numeral "10" with --11--.

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PATENT NO. 5,963,923

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⇒ 2

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Application No:  
08868200